

| Form PTO-1449 (Substitute) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | Attorney Docket Number KLYC-01056USD | Serial/Patent Number 10/684,847 | | |
|--|-------------------|--|------------------|---|------------------------------------|----------|----------------------------------|
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) | | | | Applicant/Patent Owner Zucherman, et al. | | | |
| | | | | Filing/Issue Date October 14, 2003 | Group Art Unit: 3732 | | |
| U.S. PATENTS | | | | | | | |
| Examiner Initial | | Patent Number | Issue Date | First Named Inventor | Class | Subclass | Filing Date |
| PP | 1. | 5,885,299 A | 03/23/1999 | Winslow | 606 | 99 | 03/14/1996 |
| PP | 2. | 6,582,437 B2 | 06/24/2003 | Dorchak | 606 | 90 | 02/22/2001 |
| PP | 3. | 6,755,841 B2 | 06/29/2004 | Fraser | 606 | 99 | 12/07/2001 |
| U.S. PATENT PUBLICATIONS | | | | | | | |
| Examiner Initial | | Patent Application Publication Number | Publication Date | Applicant | | | |
| | | | | | | | |
| PENDING U.S. PATENT APPLICATIONS | | | | | | | |
| Examiner Initial | | Application Number | Filing Date | First Named Inventor | | | Petition to Expunge? Yes No |
| | | | | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | |
| Examiner Initial | | Document Number | Publication Date | Country | Class | Subclass | Trans-lation Yes No |
| | | | | | | | |
| OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages) | | | | | | | |
| Examiner | /Pedro Philogene/ | | | Date Considered 05/25/2006 | | | |
| *EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | | | |
| *1 = Copy not submitted because it was submitted in prior application SN /_____, filed _____, 20_____, relied on under 35 USC §120. | | | | | | | |
| *2 = Copy not submitted because it was submitted in prior application SN /_____, filed _____, 20_____, relied on under 35 USC §120. | | | | | | | |



| | | | |
|--|--|---|------------------------------------|
| Form PTO-1449 (Substitute) | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | Attorney Docket Number KLYC-01056USD | Serial/Patent Number 10/684,847 |
| <i>Information Disclosure Statement BY APPLICANT (Use several sheets if necessary)</i> | | Applicant/Patent Owner James F. Zucherman et al. | |
| | | Filing/Issue Date October 14, 2003 | Group Art Unit 3732 |

U.S. PATENTS

| Examiner Initial | | Patent Number | Issue Date | First Named Inventor | Class | Subclass | Filing Date |
|------------------|----|---------------|------------|----------------------|-------|----------|-------------|
| PP | 1. | 5,454,812 | 10/03/1995 | Lin | | | |
| | 2. | 5,527,312 | 6/18/1996 | Ray | | | |
| | 3. | 5,554,191 | 9/10/1996 | Lahille et al. | | | |
| | 4. | 6,048,342 | 4/11/2000 | Zucherman | | | |
| | 5. | 6,068,630 | 5/30/2000 | Zucherman | | | |
| | 6. | 6,190,414 | 2/20/2001 | Young et al. | | | |
| | 7. | 6,368,351 | 4/9/2002 | Glenn et al. | | | |
| | 8. | 6,458,131 | 10/1/2002 | Ray | | | |
| ↓ | 9. | 6,770,095 | 08/03/2004 | Grinberg | | | |

U.S. PATENT PUBLICATIONS

| Examiner Initial | | Patent Application Publication Number | Publication Date | Applicant |
|------------------|--|---------------------------------------|------------------|-----------|
| | | | | |

PENDING U.S. PATENT APPLICATIONS

| Examiner Initial | | Application Number | Filing Date | First Named Inventor | Petition to Expunge? Yes No |
|------------------|-----|--------------------|-------------|----------------------|----------------------------------|
| PP | 10. | 2001/0012938 | 08/09/2001 | Zucherman | |
| PP | 11. | 2004/0106998 | 06/03/04 | Ferree | |
| PP | 12. | 2004/0138750 | 07/15/2004 | Mitchell | |

| | | | | | | | |
|----|-----|--------------|------------|---------|--|--|--|
| PP | 13. | 2004/0143332 | 07/22/2004 | Krueger | | | |
|----|-----|--------------|------------|---------|--|--|--|

FOREIGN PATENT DOCUMENTS

| Examiner Initial | | Document Number | Publication Date | Country | Class | Subclass | Trans-lation Yes No |
|------------------|--|-----------------|------------------|---------|-------|----------|--------------------------|
| | | | | | | | |

OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)

| | | |
|--|--|--|
| | | |
|--|--|--|

Examiner /Pedro Philogene/ Date Considered 05/25/2006

***EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*1 = Copy not submitted because it was submitted in prior application SN /_____, filed _____, 20_____, relied on under 35 USC §120.
 *2 = Copy not submitted because it was submitted in prior application SN /_____, filed _____, 20_____, relied on under 35 USC §120.

| | | | | | | | |
|--|--|---------------------------------------|------------------|--|---|---|-------------|
| Form PTO-1449 U.S. DEPARTMENT OF COMMERCE (Substitute) PATENT AND TRADEMARK OFFICE | | | | Attorney Docket Number KLYC-01056USD | | Serial/Patent Number 10/684,847 | |
| <i>Information Disclosure Statement BY APPLICANT (Use several sheets if necessary)</i> | | | | DEC 02 2004 U.S. PATENT & TRADEMARK OFFICE | | | |
| | | | | Applicant/Patent Owner James F. Zucherman et al. | | | |
| | | | | Filing/Issue Date October 14, 2003 | | Group Art Unit 3732 | |
| U.S. PATENTS | | | | | | | |
| Examiner Initial | | Patent Number | Issue Date | First Named Inventor | Class | Subclass | Filing Date |
| | | | | | | | |
| U.S. PATENT PUBLICATIONS | | | | | | | |
| Examiner Initial | | Patent Application Publication Number | Publication Date | Applicant | | | |
| | | | | | | | |
| PENDING U.S. PATENT APPLICATIONS | | | | | | | |
| Examiner Initial | | Application Number | Filing Date | First Named Inventor | Petition to Expunge? <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| | | | | | | | |

| FOREIGN PATENT DOCUMENTS | | | | | | | |
|---------------------------------|----|-----------------|------------------|---------------|-------|---------------|--|
| Examiner Initial | | Document Number | Publication Date | Country | Class | Subclass | Translation Yes <input type="checkbox"/> No |
| PP | 1. | FR 2724554 | 03/22/1996 | France | A61B | 17/70 | <input checked="" type="checkbox"/> |
| PP | 2. | FR 2722088 | 01/12/1996 | France | A61B | 17/70 | <input checked="" type="checkbox"/> |
| PP | 3. | FR 2705227 | 11/25/1994 | France | A61F | 2/44, 2/46 | <input checked="" type="checkbox"/> |
| PP | 4. | GB 780652 | 08/07/1957 | Great Britain | A61F | | <input checked="" type="checkbox"/> |

| <u>OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)</u> | | |
|--|--------------------------|--|
| | | |
| <u>Examiner</u> | <u>/Pedro Philogene/</u> | |
| <u>Date Considered</u> 05/25/2006 | | |
| <u>*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</u> | | |
| <hr/> <u>*1 = Copy not submitted because it was submitted in prior application SN /_____</u> , filed _____, 20_____, relied on under 35 USC §120. <u>*2 = Copy not submitted because it was submitted in prior application SN /_____</u> , filed _____, 20_____, relied on under 35 USC §120. | | |

| | | | | | | | |
|--|--|---------------------------------------|------------------|---|-------|--|----------------------------------|
| Form PTO-1449 U.S. DEPARTMENT OF COMMERCE (Substitute) PATENT AND TRADEMARK OFFICE | | | | Attorney Docket Number KLYC-01056USD | | Serial/ Patent Number 10/684,847 | |
| <p><i>Information Disclosure Statement BY APPLICANT (Use several sheets if necessary)</i></p>  | | | | Applicant/ Patent Owner James F. Zucherman et al. | | | |
| | | | | Filing/ Issue Date October 14, 2003 | | Group Art Unit 3732 | |
| U.S. PATENTS | | | | | | | |
| Examiner Initial | | Patent Number | Issue Date | First Named Inventor | Class | Subclass | Filing Date |
| | | | | | | | |
| U.S. PATENT PUBLICATIONS | | | | | | | |
| Examiner Initial | | Patent Application Publication Number | Publication Date | Applicant | | | |
| | | | | | | | |
| PENDING U.S. PATENT APPLICATIONS | | | | | | | |
| Examiner Initial | | Application Number | Filing Date | First Named Inventor | | | Petition to Expunge? Yes No |
| | | | | | | | |

| FOREIGN PATENT DOCUMENTS | | | | | | | |
|---------------------------------|----|-----------------|------------------|---------------|-------|---------------|--------------------------|
| Examiner Initial | | Document Number | Publication Date | Country | Class | Subclass | Trans-lation Yes No |
| PP | 1. | FR 2724554 | 03/22/1996 | France | A61B | 17/70 | ✓ |
| PP | 2. | FR 2722088 | 01/12/1996 | France | A61B | 17/70 | ✓ |
| PP | 3. | FR 2705227 | 11/25/1994 | France | A61F | 2/44, 2/46 | ✓ |
| PP | 4. | GB 780652 | 08/07/1957 | Great Britain | A61F | | ✓ |

| <u>OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)</u> | | |
|---|--------------------------|--|
| | | |
| <u>Examiner</u> | <u>/Pedro Philogene/</u> | |
| <u>Date Considered</u> 05/25/2006 | | |
| <u>*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</u> | | |
| <u> </u> | | |
| <u>*1 = Copy not submitted because it was submitted in prior application SN /_____ , filed _____, 20_____, relied on under 35 USC §120.</u> | | |
| <u>*2 = Copy not submitted because it was submitted in prior application SN /_____ , filed _____, 20_____, relied on under 35 USC §120.</u> | | |



ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

| Title of Invention | INTERSPINOUS PROCESS APPARATUS AND METHOD WITH A SELECTABLY EXPANDABLE SPACER | | | | |
|---|--|------------|------------|-----------------|------|
| Application Number: | 10/684847  | | | | |
| Confirmation Number: | 3522 | | | | |
| First Named Applicant: | James Zucherman | | | | |
| Attorney Docket Number: | KLYC1056USD | | | | |
| Art Unit: | 3732 | | | | |
| Search string: | (2456806 or 2677369 or 3426364 or 3648691 or 3867728 or 3875595 or 4309777 or 4349921 or 4369769 or 4401112 or 4479491 or 4501269 or 4553273 or 4554914 or 4599084 or 4599086 or 4604995 or 4611582 or 4636217 or 4643178 or 4657550 or 4685447 or 4696290 or 4714469 or 4743256 or 4772287 or 4790303 or 4834757 or 4878915 or 4904260 or 4904261 or 4913134 or 4932975 or 4936848 or 4946378 or 4961740 or 4969888 or 5011484 or 5015247 or 5026373 or 5035716 or 5047055 or 5059193 or 5059194 or 5084049 or 5092866 or 5122130 or 5123926 or 5167662 or 5055104).pn. | | | | |
| US Patent Documents | | | | | |
| Note: Applicant is not required to submit a paper copy of cited US Patent Documents | | | | | |
| init | Cite.No. | Patent No. | Date | Patentee | Kind |
| PP | 1 | 2456806 | 1948-12-21 | E.B. Wolfe | |
| | 2 | 2677369 | 1954-05-04 | Knowles | |
| | 3 | 3426364 | 1969-02-11 | Lumb | |
| | 4 | 3648691 | 1972-03-14 | Lumb et al. | |
| | 5 | 3867728 | 1975-02-25 | Stubstad et al. | |
| | 6 | 3875595 | 1975-04-15 | Froning | |
| | 7 | 4309777 | 1982-01-12 | Patil | |
| | 8 | 4349921 | 1982-09-21 | Kuntz | |
| | 9 | 4369769 | 1983-01-25 | Edwards | |

| | | | | |
|----|----|---------|------------|-----------------|
| PP | 10 | 4401112 | 1983-08-30 | Rezaian |
| | 11 | 4479491 | 1984-10-30 | Martin |
| | 12 | 4501269 | 1985-02-26 | Bagby |
| | 13 | 4553273 | 1985-11-19 | Wu |
| | 14 | 4554914 | 1985-11-26 | Kapp et al |
| | 15 | 4599084 | 1986-07-08 | Nashef |
| | 16 | 4599086 | 1986-07-08 | Doty |
| | 17 | 4604995 | 1986-08-12 | Stephens et al. |
| | 18 | 4611582 | 1986-09-16 | Duff |
| | 19 | 4636217 | 1987-01-13 | Ogilvie et al. |
| | 20 | 4643178 | 1987-02-17 | Nastari et al. |
| | 21 | 4657550 | 1987-04-04 | Daher |
| | 22 | 4685447 | 1987-08-11 | Iversen et al. |
| | 23 | 4696290 | 1987-09-29 | Steffee |
| | 24 | 4714469 | 1987-12-22 | Kenna |
| | 25 | 4743256 | 1988-05-10 | Brantigan |
| | 26 | 4772287 | 1988-09-20 | Ray et al. |
| | 27 | 4790303 | 1988-12-13 | Steffee |
| | 28 | 4834757 | 1989-05-30 | Brantigan |
| | 29 | 4878915 | 1989-11-07 | Brantigan |
| | 30 | 4904260 | 1990-02-27 | Ray et al. |
| | 31 | 4904261 | 1990-02-27 | Dove et al. |
| | 32 | 4913134 | 1990-04-03 | Luque |
| | 33 | 4932975 | 1990-06-12 | Main et al. |
| | 34 | 4936848 | 1990-06-26 | Bagby |
| | 35 | 4946378 | 1990-08-07 | Hirayama et al. |
| | 36 | 4961740 | 1990-10-09 | Ray et al. |
| | 37 | 4969888 | 1990-11-13 | Scholten et al. |
| | 38 | 5011484 | 1991-04-30 | Breard |
| | 39 | 5015247 | 1991-05-14 | Michelson |
| | 40 | 5026373 | 1991-06-25 | Ray et al. |
| | 41 | 5035716 | 1991-07-30 | Downey |
| | 42 | 5047055 | 1991-09-10 | Bao et al. |
| | 43 | 5059193 | 1991-10-22 | Kuslich |
| | 44 | 5059194 | 1991-10-22 | Michelson |
| V | 45 | 5084049 | 1992-01-28 | Asher et al. |

| | | | | |
|----|----|---------|------------|---------------|
| PF | 46 | 5092866 | 1992-03-03 | Breard et al. |
| | 47 | 5122130 | 1992-06-16 | Keller |
| | 48 | 5123926 | 1992-06-23 | Pisharodi |
| | 49 | 5167662 | 1992-12-01 | Hayes et al. |
| ▼ | 50 | 5055104 | 1991-10-08 | Ray |

Signature

| | |
|-------------------|------------|
| Examiner Name | Date |
| /Pedro Philogene/ | 05/25/2006 |



ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

| | | | | | | | | |
|---|---|------------|------------|----------------|------------|-------|----------|--|
| Title of Invention | INTERSPINOUS PROCESS APPARATUS AND METHOD WITH A SELECTABLY EXPANDABLE SPACER | | | | | | | |
| Application Number: | 10/684847 | | | | | | | |
| Confirmation Number: | 3522 | | | | | | | |
| First Named Applicant: | James Zucherman | | | | | | | |
| Attorney Docket Number: | KLYC1056USD | | | | | | | |
| Art Unit: | 3732 | | | | | | | |
| Search string: | (6261296 or 6436145 or 6565570).pn. | | | | | | | |
| US Patent Documents | | | | | | | | |
| Note: Applicant is not required to submit a paper copy of cited US Patent Documents | | | | | | | | |
| init | Cite.No. | Patent No. | Date | Patentee | Kind | Class | Subclass | |
| PP | 1 | 6261296 | 2001-07-17 | Aebi et al. | | | | |
| PP | 2 | 6436145 | 2002-08-20 | Miller | | | | |
| PP | 3 | 6565570 | 2003-05-20 | Sterett et al. | | | | |
| Signature | | | | | | | | |
| Examiner Name | | | | | Date | | | |
| /Pedro Philogene/ | | | | | 05/25/2006 | | | |



ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

| Title of Invention | INTERSPINOUS PROCESS APPARATUS AND METHOD WITH A SELECTABLY EXPANDABLE SPACER | | | | |
|---|--|------------|------------|-----------------|------|
| Application Number: | 10/684847  | | | | |
| Confirmation Number: | 3522 | | | | |
| First Named Applicant: | James Zucherman | | | | |
| Attorney Docket Number: | KLYC1056USD | | | | |
| Art Unit: | 3732 | | | | |
| Search string: | (5180381 or 5192327 or 5258031 or 5263953 or 5290312 or 5304178 or 5306309 or 5352225 or 5387213 or 5390683 or 5395372 or 5415661 or 5443514 or 5456722 or 5458638 or 5458641 or 5458643 or 5470333 or 5496318 or 5505732 or 5514180 or 5534028 or 5534029 or 5540689 or 5549679 or 5562736 or 5593409 or 5609634 or 5645597 or 5645599 or 5653761 or 5658286 or 5674295 or 5674296 or 5676702 or 5702455 or 5766252 or 5800438 or 5824098 or 5865846 or 5885299 or 5888224 or 5888226 or 5976186 or 6001130 or 6022376 or 6113639 or 6156067 or 6234705 or 5725582).pn. | | | | |
| US Patent Documents | | | | | |
| Note: Applicant is not required to submit a paper copy of cited US Patent Documents | | | | | |
| init | Cite.No. | Patent No. | Date | Patentee | Kind |
| PP | 1 | 5180381 | 1993-01-19 | Aust et al. | |
| | 2 | 5192327 | 1993-03-09 | Brantigan | |
| | 3 | 5258031 | 1993-11-02 | Salib et al. | |
| | 4 | 5263953 | 1993-11-23 | Bagby | |
| | 5 | 5290312 | 1994-03-01 | Kojimoto et al. | |
| | 6 | 5304178 | 1994-04-19 | Stahurski | |
| | 7 | 5306309 | 1994-04-26 | Wagner et al. | |
| | 8 | 5352225 | 1994-10-04 | Yuan et al. | |
| ▼ | 9 | 5387213 | 1995-02-07 | Breard et al. | |

| | | | | |
|----|----|---------|------------|------------------|
| pp | 10 | 5390683 | 1995-02-21 | Pisharodi |
| | 11 | 5395372 | 1995-03-07 | Holt et al. |
| | 12 | 5415661 | 1995-05-16 | Holmes |
| | 13 | 5443514 | 1995-08-22 | Steffee |
| | 14 | 5456722 | 1995-10-10 | McLeod et al. |
| | 15 | 5458638 | 1995-10-17 | Kuslich et al. |
| | 16 | 5458641 | 1995-10-17 | Ramirez Jimenez |
| | 17 | 5458643 | 1995-10-17 | Oka et al. |
| | 18 | 5470333 | 1995-11-28 | Ray |
| | 19 | 5496318 | 1996-03-05 | Howland et al. |
| | 20 | 5505732 | 1996-04-09 | Michelson |
| | 21 | 5514180 | 1996-05-07 | Heggeness et al. |
| | 22 | 5534028 | 1996-07-09 | Bao et al. |
| | 23 | 5534029 | 1996-07-09 | Shima |
| | 24 | 5540689 | 1996-07-30 | Sanders et al. |
| | 25 | 5549679 | 1996-08-27 | Kuslich |
| | 26 | 5562736 | 1996-10-08 | Ray et al. |
| | 27 | 5593409 | 1997-01-14 | Michelson |
| | 28 | 5609634 | 1997-03-11 | Voydeville |
| | 29 | 5645597 | 1997-07-08 | Krapiva |
| | 30 | 5645599 | 1997-07-08 | Samani |
| | 31 | 5653761 | 1997-08-05 | Pisharodi |
| | 32 | 5658286 | 1997-08-19 | Sava |
| | 33 | 5674295 | 1997-10-17 | Ray et al. |
| | 34 | 5674296 | 1997-10-17 | Bryan et al. |
| | 35 | 5676702 | 1997-10-14 | Ratron |
| | 36 | 5702455 | 1997-12-30 | Saggar |
| | 37 | 5766252 | 1998-06-16 | Henry et al. |
| | 38 | 5800438 | 1998-09-01 | Tuke et al. |
| | 39 | 5824098 | 1998-10-20 | Stein |
| | 40 | 5865846 | 1999-02-02 | Bryan et al. |
| | 41 | 5885299 | 1999-03-23 | Winslow et al. |
| | 42 | 5888224 | 1999-03-30 | Beckers et al. |
| | 43 | 5888226 | 1999-03-30 | Rogozinski |
| | 44 | 5976186 | 1999-11-02 | Bao et al. |
| ✓ | 45 | 6001130 | 1999-12-14 | Bryan et al. |

| | | | | |
|----|----|---------|------------|---------------|
| PP | 46 | 6022376 | 2000-02-08 | Assell et al. |
| PP | 47 | 6113639 | 2000-09-05 | Ray et al. |
| PP | 48 | 6156067 | 2000-12-05 | Bryan et al. |
| PP | 49 | 6234705 | 2001-05-22 | Troxell |
| PP | 50 | 5725582 | 1998-03-10 | Bevan et al. |

Signature

| Examiner Name | Date |
|-------------------|------------|
| /Pedro Philogene/ | 05/25/2006 |

| | | | |
|--|--|--|---|
| Form PTO-1449 (Substitute) | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | Attorney Docket Number KLYC-1056USD | Serial/Patent Number 10/684,847 |
| <i>Information Disclosure Statement BY APPLICANT (Use several sheets if necessary)</i> | | Applicant/Patent Owner James F. Zucherman et al. | |
| | | Filing/Issue Date October 14, 2003 | Group Art Unit 3732 |

| FOREIGN PATENT DOCUMENTS | | | | | | | |
|--------------------------|----|-----------------|------------------|--------------|-------|----------|-------------------------|
| Examiner Initial | | Document Number | Publication Date | Country | Class | Subclass | Translation Yes No |
| PP | 1 | DE 3113142 A1 | 1-1982 | Germany | | | |
| | 2 | EP 140790 A2 | 10-1984 | EPO | | | |
| | 3 | EP 146347 A1 | 12-1984 | EPO | | | |
| | 4 | DE 2821678 A1 | 4-1980 | Germany | | | |
| | 5 | EP 322334 A1 | 12-1988 | EPO | | | |
| | 6 | SU 1484348 A1 | 6-1989 | Soviet Union | | | |
| | 7 | WO 90/00037 | 1-1990 | PCT | | | |
| | 8 | CA 2015507 | 1-1991 | Canada | | | |
| | 9 | WO 91/16018 | 10-1991 | PCT | | | |
| | 10 | FR 2681525 A1 | 3-1993 | France | | | |
| | 11 | WO 94/21185 | 9-1994 | PCT | | | |
| | 12 | WO 94/26192 | 11-1994 | PCT | | | |
| | 13 | FR 2707864 A1 | 1-1995 | France | | | |
| | 14 | FR 2717675 | 9-1995 | France | | | |
| | 15 | EP 0677277 A2 | 10-1995 | EPO | | | |
| | 16 | FR 2722980 A1 | 2-1996 | France | | | |
| | 17 | EP 0767636 B1 | 4-1997 | EPO | | | |
| | 18 | WO 98/48717 | 11-1998 | PCT | | | |
| | 19 | WO 99/26562 | 6-1999 | PCT | | | |
| | 20 | WO 99/40866 | 8-1999 | PCT | | | |
| | 21 | WO 99/42051 | 8-1999 | PCT | | | |
| | 22 | WO 99/59669 | 11-1999 | PCT | | | |
| ▼ | 23 | FR 2780269 A1 | 12-1999 | France | | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initial | | Document Number | Publication Date | Country | Class | Subclass | Translation Yes No |
|------------------|----|-----------------|------------------|---------|-------|----------|----------------------|
| PP | 24 | FR 2782911 A1 | 3-2000 | France | | | |
| | 25 | WO 00/13619 | 3-2000 | PCT | | | |
| | 26 | WO 00/13620 | 3-2000 | PCT | | | |
| | 27 | WO 00/04851 | 2-2000 | PCT | | | |
| | 28 | WO 01/28442 A1 | 4-2001 | PCT | | | |
| | 29 | FR 2806614 A1 | 9-2001 | France | | | |
| | 30 | FR 2806616 A1 | 9-2001 | France | | | |
| ▼ | 31 | EP 1138268 A1 | 10-2001 | EPO | | | |

OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)

| | | |
|----|----|---|
| PP | 32 | Minns, R.J., et al., <i>Preliminary Design and Experimental Studies of a Novel Soft Implant for Correcting Sagittal Plane Instability in the Lumbar Spine</i> , SPINE Volume 22, Number 16, pp.1819-1825, © 1997, Lippincott-Raven Publishers |
| PP | 33 | Waldemar Link, brochure entitled <i>Wirbelsäulen-Chirurgie Instrumentarium Und Implantate Zur Wirbelsäulen-Chirurgie</i> (Spinal Surgery: Instrumentation and Implants for Spinal Surgery), Waldemar Link, Hamburg, Germany |
| PP | 34 | Haruo Tsuji, et al., <i>Ceramic Interspinous Block (CISB) Assisted Anterior Interbody Fusion</i> , Journal of Spinal Disorders, Vol.3, No.1, pp.77-86, ©1990 Raven Press, Ltd., New York |
| PP | 35 | Richard W. Porter, MD, FRCS, FRCSE, <i>Spinal Stenosis and Neurogenic Claudication</i> , SPINE Volume 21, Number 17, pp.2046-2052, ©1996, Lippincott-Raven Publishers |

| | | | |
|----------|-------------------|-----------------|------------|
| Examiner | /Pedro Philogene/ | Date Considered | 05/25/2006 |
|----------|-------------------|-----------------|------------|

*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*1 = Copy not submitted because it was submitted in prior application SN /_____, filed _____, 20_____, relied on under 35 USC §120.

*2 = Copy not submitted because it was submitted in prior application SN /_____, filed _____, 20_____, relied on under 35 USC §120.



| | | | |
|--|--|---|------------------------------------|
| Form PTO-1449 (Substitute) | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | Attorney Docket Number KLYC-01056USD | Serial/Patent Number 10/684,847 |
| <i>Information Disclosure Statement BY APPLICANT (Use several sheets if necessary)</i> | | Applicant/Patent Owner James F. Zucherman et al. | |
| | | Filing/Issue Date October 14, 2003 | Group Art Unit 3732 |

U.S. PATENTS

| Examiner Initial | | Patent Number | Issue Date | First Named Inventor | Class | Subclass | Filing Date |
|------------------|----|---------------|------------|----------------------|-------|----------|-------------|
| PP | 1. | 5,454,812 | 10/03/1995 | Lin | | | |
| | 2. | 5,527,312 | 6/18/1996 | Ray | | | |
| | 3. | 5,554,191 | 9/10/1996 | Lahille et al. | | | |
| | 4. | 6,048,342 | 4/11/2000 | Zucherman | | | |
| | 5. | 6,068,630 | 5/30/2000 | Zucherman | | | |
| | 6. | 6,190,414 | 2/20/2001 | Young et al. | | | |
| | 7. | 6,368,351 | 4/9/2002 | Glenn et al. | | | |
| | 8. | 6,458,131 | 10/1/2002 | Ray | | | |
| V | 9. | 6,770,095 | 08/03/2004 | Grinberg | | | |

U.S. PATENT PUBLICATIONS

| Examiner Initial | | Patent Application Publication Number | Publication Date | Applicant |
|------------------|--|---------------------------------------|------------------|-----------|
| | | | | |

PENDING U.S. PATENT APPLICATIONS

| Examiner Initial | | Application Number | Filing Date | First Named Inventor | Petition to Expunge? Yes No |
|------------------|-----|--------------------|-------------|----------------------|----------------------------------|
| PP | 10. | 2001/0012938 | 08/09/2001 | Zucherman | |
| PP | 11. | 2004/0106998 | 06/03/04 | Ferree | |
| PP | 12. | 2004/0138750 | 07/15/2004 | Mitchell | |

| | | | | | | | |
|----|-----|--------------|------------|---------|--|--|--|
| PP | 13. | 2004/0143332 | 07/22/2004 | Krueger | | | |
|----|-----|--------------|------------|---------|--|--|--|

FOREIGN PATENT DOCUMENTS

| Examiner Initial | | Document Number | Publication Date | Country | Class | Subclass | Trans-lation Yes No |
|------------------|--|-----------------|------------------|---------|-------|----------|--------------------------|
| | | | | | | | |

OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)

| | | |
|--|--|--|
| | | |
|--|--|--|

Examiner /Pedro Philogene/ Date Considered 05/25/2006

***EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

***1 = Copy not submitted because it was submitted in prior application SN /_____, filed _____, 20_____, relied on under 35 USC §120.**
***2 = Copy not submitted because it was submitted in prior application SN /_____, filed _____, 20_____, relied on under 35 USC §120.**